

09/27/01

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# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE REQUEST FOR FILING NATIONAL PATENT APPLICATION

Under 35 USC 111(a) and Rule 53(b)

PATENT APPLICATION

WITH SIGNED DECLARATION

NONPROVISIONAL  
NON REISSUE  
NON PCT NAT PHASE

U.S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

Herewith is the PATENT APPLICATION of

Inventor(s): Yoshihiko SHIOZAKI and Tomoaki HIRAI

Title OPTICAL DISK RECORDING AND REPRODUCING  
APPARATUS

Atty. Dkt.: PW 027 7016 | H7523US

M#

Client Ref

including:

Date: September 26, 2001

1. Specification: 19 pages (only spec. and claims) 2. ☐ Specification in non-English language
3. Declaration ☒ Original ☐ Facsimile/Copy ☒ Abstract 1 page(s); 4 numbered claims
4. ☒ Drawings: 4 sheet(s) ☐ Informal; ☒ formal of size: ☒ A4 ☐ 11"
- ☐ See top first page re prior Provisional, National or International application(s). ("X" box only if info is there and do not complete corresponding item 5 or 6). (Prior M# \_\_\_\_\_ SN \_\_\_\_\_)
6. **AMEND the specification** please by inserting before the first line: -- This is a ☐ Continuation-in-Part
- ☐ Divisional ☐ Continuation ☐ Substitute Application (MPEP 201.09) of:
- 6(a) ☐ National Appl. No. / filed / (M# /)
- 6(b) ☐ International Appl. No. \_\_\_\_\_ filed \_\_\_\_\_
7. Which designated the U.S., and that International Application ☐ was ☐ was not published under PCT Article 21(2) in English.--
7. ☐ **AMEND the specification** by inserting before the first line: -- This application claims the benefit of U.S. Provisional Application No. 60/ \_\_\_\_\_, filed \_\_\_\_\_.
8. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.
9. ☐ Prior application is assigned to \_\_\_\_\_

by Assignment recorded

Reel

Frame

- 10.
- FOREIGN**
- priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in
- Japan

11. \_\_\_\_\_ (country)

Application No.	Filing Date	Application No.	Filing Date
(1) 2000-294737	September 27, 2000	(2)	
(3)		(4)	
(5)		(6)	
(7)		(8)	
(9)		<input type="checkbox"/> See 3 <sup>rd</sup> page for additional priorities	

12. 1 (No.) Certified copy (copies): ☒ attached; ☐ previously filed (date) \_\_\_\_\_  
in U.S. Application No. / filed on \_\_\_\_\_
13. Small entity status ☒ is **not** claimed; ☐ is claimed (Pre-filing confirmation required)
- 13(a) ☐ Attached: \_\_\_\_\_ (No.) Small Entity Statement(s) (since 9/8/00 small entity statement(s) not essential to make claim)
- 13(b) ☐ See **NONPUBLICATION REQUEST** under Rule 213(a) attached (PAT-258)

14. **DOMESTIC/INTERNATIONAL** priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1)		(4)	
(2)		(5)	
(3)		(6)	

15. ☐ This application is being filed under Rule 53(b)(2) since an inventor is named in the enclosed Declaration who was not named in the prior application.

16. ☐ Attached:

17. ☐ Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

				Large/Small Entity		Fee Code
18. Basic Filing Fee				\$710/\$355	\$710	101/201
19. Total Effective Claims	4	minus 20 =	*0	x \$18/\$9 =	+ 0	103/203
20. Independent Claims	2	minus 3 =	*0	x \$80/\$40 =	+ 0	102/202
				*If answer is zero or less, enter "0"		
21. If any proper multiple dependent claim (ignore improper) is present, add (leave this line blank if this is a reissue application)				+ \$270/\$135	+ 0	1C4/204
22. TOTAL FILING FEE ENCLOSED =				\$710		
23. If "non-English" box 2 is X'd, add Rule 17(k) processing fee				+ \$130	+ 0	139
24. If "assignment" box 8 is X'd, add recording fee				+ \$40	+ 40	581
25. <input type="checkbox"/> Attached is a Petition/Fee under Rule No.				+ \$130	+ 0	122
26. TOTAL FEE ENCLOSED =				\$750		

Our Deposit Account No. 03-3975

Our Order No. 051270

C#

027 7016

M#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficient fee only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown above for which purpose a duplicate copy of this sheet is attached.

**This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.**

**Pillsbury Winthrop LLP  
Intellectual Property Group**

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NOTE: File in duplicate with 2 post card receipts (PAT-103) & attachments

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:  
SHIOZAKI, et al.

Group No.: Not Assigned

Serial No.: Not Assigned

Examiner: Not Assigned

Filed: September 26, 2001

For: OPTICAL DISK RECORDING AND REPRODUCING  
APPARATUS

CERTIFICATE OF MAILING VIA U.S. EXPRESS MAIL

"Express Mail" Mailing Label No. EL 860 912 474 US

Date of Deposit: September 26, 2001

Box Patent Application  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

I hereby certify that

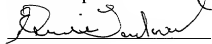
- ☒ Letter of transmittal
- ☒ Patent application (19 pages of specification; 4 claims; 1 pages of abstract)
- ☒ A check in the amount of \$710.00 to cover the filing fee
- ☒ An Assignment of the Invention with Cover Sheet and \$40.00 Recordation Fee
- ☒ A Declaration/Power of Attorney
- ☒ 4 sheets of formal drawings
- ☒ Return postcard
- ☒ An Information Disclosure Statement with 1 reference
- ☒ A Certified copy of the Japanese priority document from which priority is claimed

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service with sufficient postage under 37 CFR 1.10 on the date indicated above and are addressed to:

Box Patent Application  
Assistant Commissioner for Patents  
Washington, D.C. 20231.

September 26, 2001

Date of Deposit

  
Ernie Sandoval